



Third Embarcadero Ctr.
28th Floor

San Francisco
California 94111

T: 415-217-6000
F: 415-434-0646

Austin, TX
San Jose, CA
Newport Beach, CA

3p 2818
skjerven morrill
macpherson LLP

Docket No.: M-9727 US

January 4, 2002

Commissioner For Patents
Washington, D.C. 20231

Re: Applicants: Robert J. Small and Xiaowei Shang
Assignee: EKC Technology, Inc.
Title: Chemical-Mechanical Planarization Using Ozone
Serial No.: 09/783,069
Examiner: Le, Thao P. Filed: February 13, 2001
Docket No.: M-9727 US Group Art Unit: 2818

Sir:

Transmitted herewith are the following documents in the above-identified application:

- (1) Return Receipt Postcard;
- (2) This Transmittal Letter (in duplicate);
- (3) Response to Restriction Requirement;
- (4) Preliminary Amendment;
- (5) Substitute Specification (marked); and
- (6) Substitute Specification (unmarked).



No additional fee is required.



The fee has been calculated as shown below:



Please charge our Deposit Account No. 19-2386 in the amount of

\$

0.00



Also, charge any additional fees required and credit any overpayment to our Deposit Account No. 19-2386.

Total:

\$

0.00

EXPRESS MAIL LABEL NO:

EV 052132687 US

Respectfully submitted,

K. Alison de Runtz
K. Alison de Runtz

Attorney of Record
Reg. No. 37,119



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Robert J. Small and Xiaowei Shang
Assignee: EKC Technology, Inc.
Title: Chemical-Mechanical Planarization Using Ozone
Serial No.: 09/783,069 Filing Date: February 13, 2001
Examiner: Le, Thao P. Group Art Unit: 2818
Docket No.: M-9727 US

San Francisco, California
January 4, 2002

COMMISSIONER FOR PATENTS
Washington, D.C. 20231

PRELIMINARY AMENDMENT

Sir:

A restriction requirement has been received by Applicants in the above-referenced application, and a response thereto is submitted herewith. Entry of this preliminary amendment and consideration thereof are hereby requested, prior to a consideration of said response and further consideration of this application.

IN THE SPECIFICATION

Please replace the specification, other than the claims, with the substitute specification that appears in clean form in Appendix I hereto. (Page 13 and Page 14 of the substitute specification are blank but for the "**CLAIMS**" heading on Page 13.) A copy of the substitute specification that is marked to show the changes made appears in Appendix II hereto. The substitute specification includes no new matter.

IN THE CLAIMS

Please amend claims 4 and 12, such that they read respectively as set forth below. A copy of the amended claims, marked to show the changes made, appears in Appendix III hereto. A copy of all of the pending claims, in clean form, appears in Appendix IV hereto.

LAW OFFICES OF
SKJRVEN MORRILL
M. PHERSON LLP
THREE EMBARCADERO CENTER
28TH FLOOR
SAN FRANCISCO, CA 94111
415.217.6000
FAX 415.434.0646